PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Stanislaus Wong

Serial No.: 10/701,402

Filed: November 3, 2003

For: SIDEWALL FUNCTIONALIZED CARBON NANOTUBES, AND METHODS FOR MAKING THE SAME

Examiner: Unassigned

Group Art Unit: Unassigned

Docket: 178-322

Dated: February 5, 2004

Mail Stop DD
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

I hereby certify this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope addressed to Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.
on 2.5.04 Signature Susan Bailey Terrell

INFORMATION DISCLOSURE STATEMENT

Sir:

In order to fulfill the requirements of candor and good faith set forth in 37 C.F.R. § 1.56, Applicants submit herewith the following Information Disclosure Statement and Form PTO-1449 in accordance with the provisions of 37 C.F.R. §§ 1.97 and 1.98.

NON-PATENT PUBLICATIONS

1. Banerjee et al., "Rational Sidewall Functionalization and Purification of Single-Walled Carbon Nanotubes by Solution-Phase Ozonolysis" *J. Phys. Chem. B*, *106*:12144-12151 (November 1, 2002).

2. Chiang et al., "Purification and Characterization of Single-Wall Carbon Nanotubes" *J. Phys. Chem. B*, *105*:1157-1161 (January 12, 2001).

3. Hernadi et al., "Reactivity of different kinds of carbon during oxidative purification of catalytically prepared carbon nanotubes" *Solid State Ionics*, *141*:203-209 (2001).

4. Rinzler et al., "Large-scale purification of single-wall carbon nanotubes: process, product, and characterization" *Appl. Phys. A: Mater. Sci. Process*, *67*: 29-37 (1998).

5. Chiang et al., "Purification and Characterization of Single-Wall Carbon Nanotubes (SWNTs) Obtained from the Gas-Phase Decomposition of CO (HiPco Process)" *J. Phy. Chem. B, 105*:8297-8301 (August 10, 2001).

6. Lu et al., "Can the Sidewalls of Single-Wall Carbon Nanotubes Be Ozonized?" *J. Phys. Chem. B, 106*:2136-2139 (February 7, 2002).

7. Deng et al., "Oxidation of Fullerenes by Ozone" *Fullerene Sci. Technol.,* 5(5):1033-1044 (March 17, 1997).

8. Heymann et al., "$C_{60}O_3$, a Fullerene Ozonide: Synthesis and Dissociation to $C_{60}O$ and O_2" *J. Am. Chem. Soc., 122*:11473-11479 (November 3, 2000).

9. Mawhinney et al., "Infrared Spectral Evidence for the Etching of Carbon Nanotubes: Ozone Oxidation at 298 K" *J. Am. Chem. Soc., 122*:2383-2384 (February 29, 2000).

10. Bahr et al., "Covalent chemistry of single-wall carbon nanotubes" *J. Mater. Chem., 12*:1952-1958 (May 1, 2002).

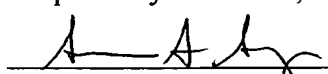
11. Cai et al., "Ozonation of Single-Walled Carbon Nanotubes and their Assemblies on Rigid Self-Assembled Monolayers" *Chem Mater., 14*:4235-4241 (September 5, 2002).

Copies of the references set forth above are enclosed herewith and a separate listing of the same has been set forth on the attached Form PTO-1449. The Examiner is respectfully requested to consider these references in their entireties, and to indicate that he or she has done so by initialing the enclosed Form PTO-1449.

In view of the present submission, it is believed that the present application is in all respects complete, and in condition for examination and favorable consideration.

If the Examiner has any questions or comments relating to the present invention, he or she is respectfully invited to contact Applicants' attorney at the telephone number set forth below.

Respectfully submitted,



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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (Rev. 2-32) PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 178-322	SERIAL NO. 10/701,402
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Wong et al.	CONFIRMATION NO. Unassigned
(Use several sheets if necessary)	FILING DATE November 3, 2003	GROUP Unassinged

U.S. PATENT PUBLICATIONS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

			1.	Banerjee et al., "Rational Sidewall Functionalization and Purification of Single-Walled Carbon Nanotubes by Solution-Phase Ozonolysis" *J. Phys. Chem. B*, *106*:12144-12151 (November 1, 2002).
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EXAMINER DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication with applicant.

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